

**North Carolina Division of Mental Health, Developmental
Disabilities, and Substance Abuse Services**

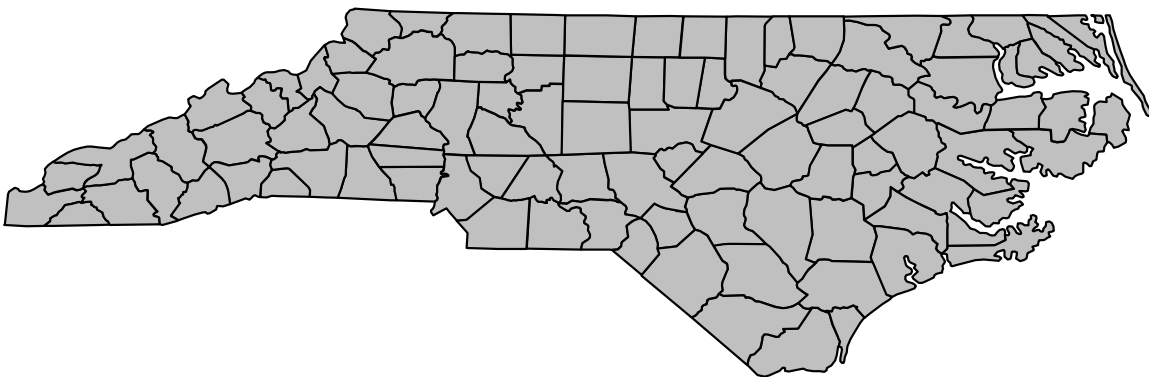
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**Quarterly Report on
Complaints Received By Local
Management Entities**

**State Fiscal Year 2006- 2007
First Quarter
July 1, 2006 - September 30, 2006**



Prepared by

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North Carolina Department of Health and Human Services

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Executive Summary

The reporting of complaints regarding NCGS 122C licensed facilities (except hospitals) and unlicensed community-based providers of mental health, developmental disability and substance abuse services is a statewide requirement. The task of implementing this process has been taking place at the same time that other major changes are occurring in the manner that local services are being provided and managed. The reporting of these complaints and analysis of complaint data is an evolving and continuously improving process.

Interpreting The Data:

Caution should be exercised in interpreting the data provided in this report.

Because of the evolving nature of complaint reporting, it is difficult to interpret with certainty, at this point in time, the reasons for individual LME and statewide aggregate patterns in the numbers of complaints and the variability in complaint rates among LMEs at different report periods.

The complaint reporting system has not yet reached the point where the data is considered stable enough to draw conclusions. When looking at statewide aggregate data and data for individual LMEs, a high number of complaints reported does not indicate an issue, but is believed to be a result of increased education for consumers, families and providers about their rights and the complaint process. As LMEs are in various stages of implementing mental health reform, it is expected that aggregate data in future reports will continue to show increases in the number of complaints reported to the LMEs. Caution should be exercised in interpreting the data.

First Quarter SFY07 Complaint Data Highlights:

Information regarding statewide averages will be detailed.

Information regarding the total number of complaints per LME and the number of active consumers per LME will be included¹. Information regarding the number of complaints per LME based on age of the consumer and disability will also be available.

The primary nature of the complaint and the persons (by categories) filing the complaint will be analyzed.

Information regarding the outcome of complaints will also be detailed. The number of complaints that resulted in an investigation as well as the action and final disposition of the complaint will be included.

LME Reported Improvement Activities:

LMEs devote a lot of attention to reporting of complaints. LMEs are looking closely at the numbers of complaint that are reporting incidents, as well as the type and agency involved in the complaint.

¹ Active consumers are the average monthly active caseload for the quarter and are calculated by performing a distinct count of clients in the Client Services Data Warehouse with a status code of "active" each month and averaging the three months.

LMEs can offer training for providers on complaint reporting and resolution processes.

LMEs incorporate complaint reporting into their provider monitoring activities.

During monitoring visits, LMEs are reviewing to ensure that providers are documenting, addressing, and reporting complaints at the appropriate level and to ensure that all facilities within the provider's system of services are reporting complaints and making system-wide improvements when indicated.

LMEs are also looking at patterns to identify opportunities for improvement and are providing technical assistance when needed to ensure that appropriate action is being taken. Opportunities for improvement that have been identified and addressed by LMEs this quarter include

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Introduction

Purpose

As required by 10A NCAC 27G .0601 through .0609, Local Management Entities (LMEs) are responsible for receiving, reviewing and responding to complaints regarding Category A (NCGS 122C licensed facilities, except hospitals) and Category B (unlicensed community-based) providers of mental health, developmental disability and substance abuse services in their catchment areas. LMEs analyze this collected information as part of their quality management efforts and report summarized information each quarter to the Division of Mental Health, Developmental Disabilities and Substance Abuse Services. The reporting and analysis of information on complaints are an important part of any effort to manage the quality of care being delivered. This statewide report is meant to support local efforts in improving the quality of care being delivered. We hope the information in this report will provide a useful overview of the numbers and types of complaints being reported across the community system in North Carolina.

Evolving Nature of Complaint Reporting

This is the first report of the statewide reporting of complaints and is expected to be an evolving process. The process of deciding how best to report, summarize, and share this collected information continues to change over time as a better understanding of the issues is gained. In an effort to ensure appropriate response to complaint and statewide consistency in what is reported, a workgroup of state and LME staff developed a data collection and reporting system. As part of this new system, LMEs began using a new quarterly complaint report beginning the first quarter of SFY 2007 to provide summary data and a trend analysis to the Division. Both forms and their associated instructions can be found on the Division's website at <http://www.dhhs.state.nc.us/mhddsas/manuals/index.htm>. The Division will continue to work with LMEs to refine what should be reported to enhance the usefulness of complaint reporting as a quality management tool.

Please give us feedback! We welcome your suggestions on how we can make this report more useful and more relevant to your questions and concerns. Our address, email, and phone number are on the last page of the report. Thank you in advance for your feedback.

Organization and Content

This report is organized into three sections. The first section of the report provides charts and graphs summarizing statewide aggregate data on complaints received by LMEs.

The second section of the report summarizes the findings of LMEs with regard to their own analyses of the data, highlighting common areas of concern and some of the quality improvement activities being undertaken.

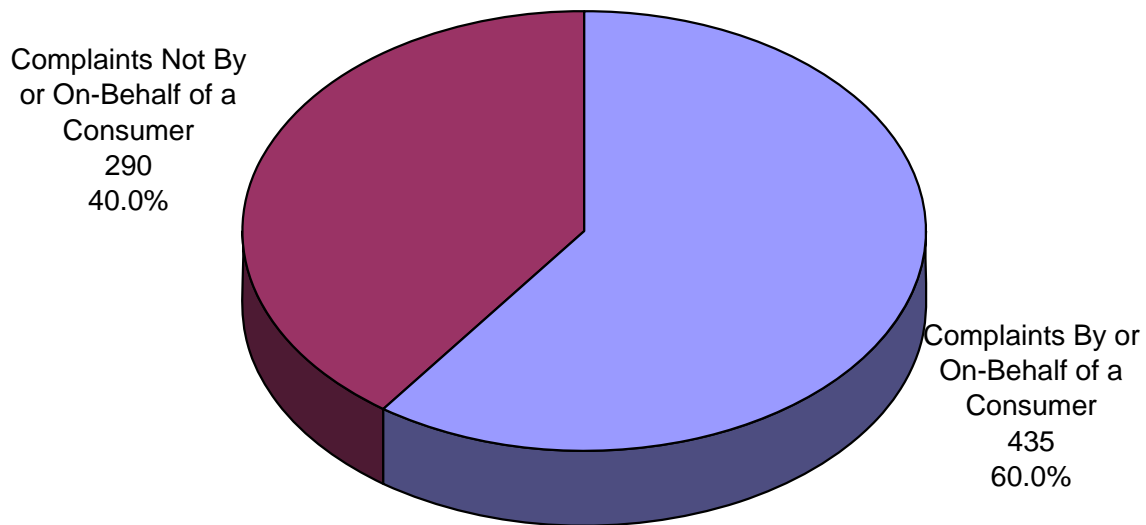
The third section of the report provides detailed data on complaints received by LME and statewide. For each type of complaint, the number of complaints and the rate per 1,000 active consumers are provided.

I. Summary Graphs and Charts of Statewide Data

Total Number of Complaints Received By LMEs First Quarter 2007

Statewide, LMEs received a total of XXX complaints during the quarter. XX% (XXX) of the complaints received were by or on-behalf of a consumer, and XX% (XXX) of the complaints received were not by or on-behalf of a consumer.

The statewide average rate of complaints received by LMEs for this quarter was X.X complaints per 1,000 active consumers¹.

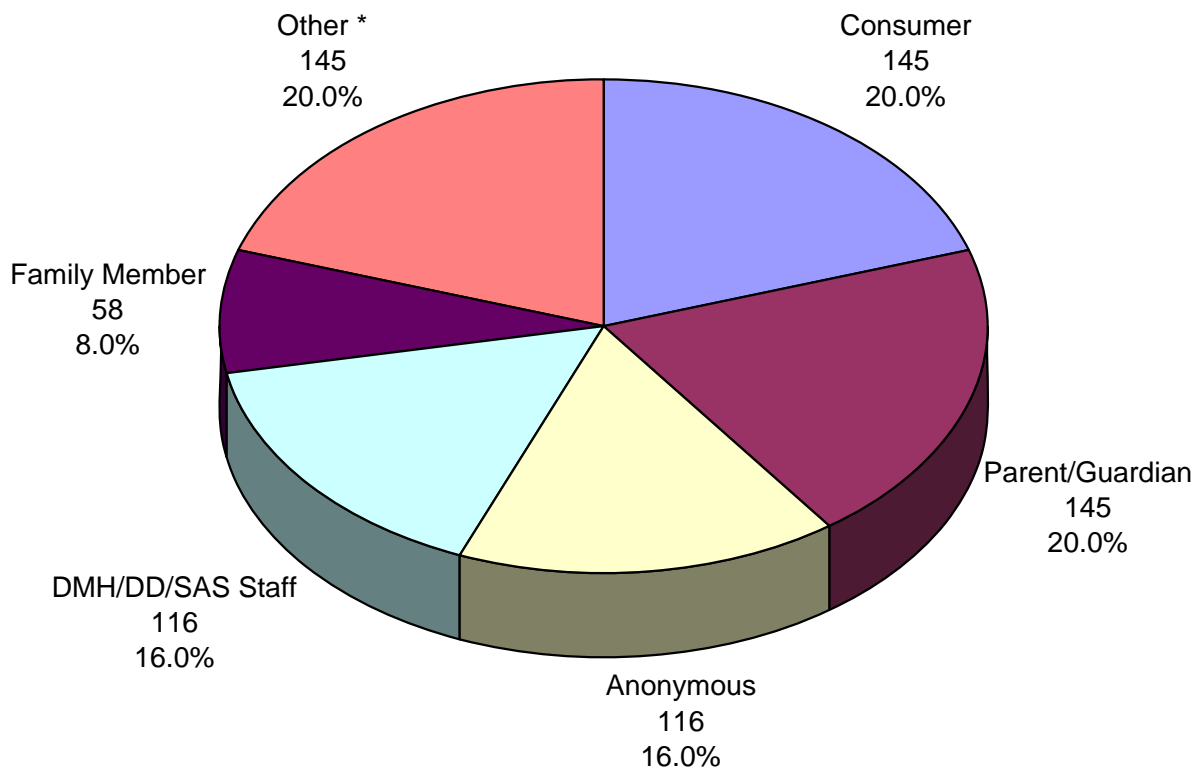


1. **Active consumers** are the average monthly active caseload for the quarter and are calculated by performing a distinct count of clients in the Client Services Data Warehouse with a status code of "active" each month and averaging the three months.

Persons Making the Complaint First Quarter 2007

Statewide, LMEs received a total of XXX complaints during the first quarter. XX% were made by anonymous persons, XX% were made by attorneys, XX% were made by consumers, XX% were made by consumer advocates or representatives, XX% were made by DMH/DD/SAS staff, XX% were made by family members, XX% were made by a parent/guardian, XX% were made by providers, XX% were made by LME staff, and XX% were made by someone else.

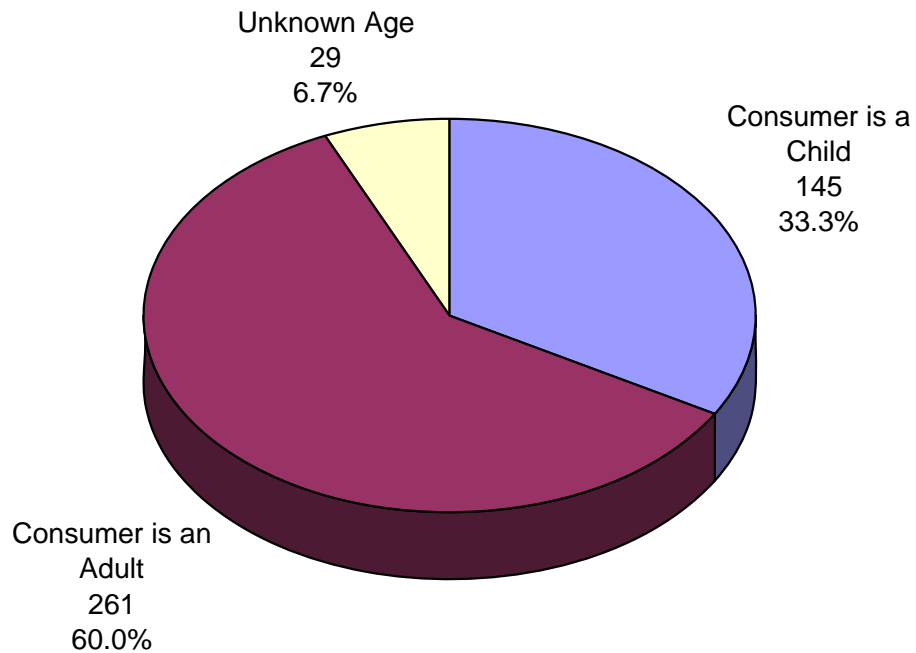
Alternative: Could list persons making complaints by highest to lowest percentage rather than alphabetical.



* Other includes Attorney, Consumer Advocate/Representative, Provider, LME Staff and Others.

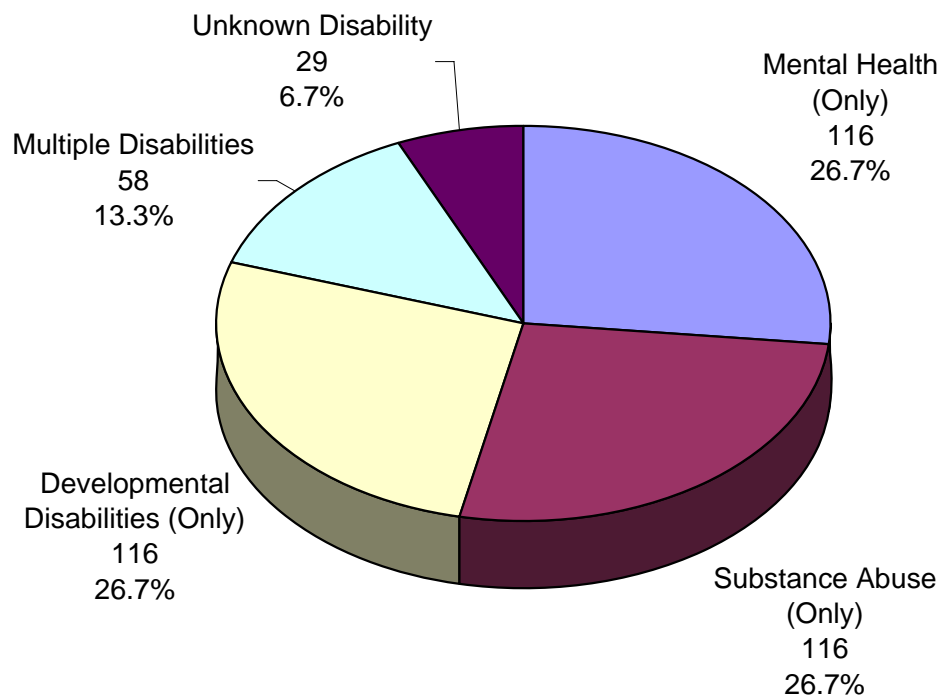
**Number of Complaints Received By or On-Behalf of a Consumer
By Age of Consumer
First Quarter 2007**

Statewide, a total of XX complaints were received by or on-behalf of the consumer during the first quarter. XX% of these complaints were by or on-behalf of a child (age 0-17), XX% of these complaints were by or on-behalf of an adult (age 18 or over), and for XX% of these complaints, the consumer's age was unknown.



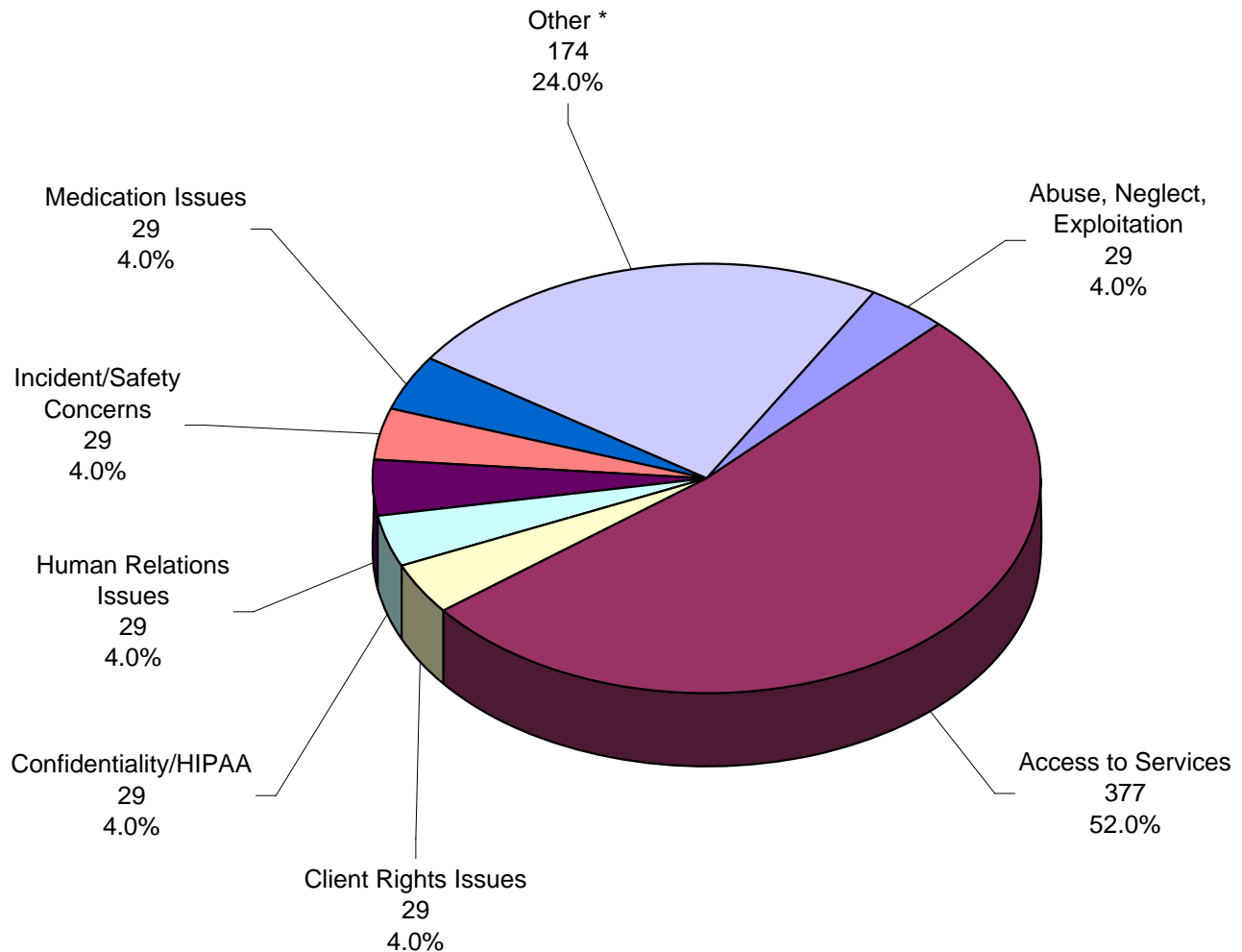
**Number of Complaints Received By or On-Behalf of a Consumer
By Disability Group of Consumer
First Quarter 2007**

Statewide, a total of XX complaints were received by or on-behalf of the consumer during the first quarter. XX% of the consumers involved had only a mental health disability, XX% of the consumers involved had only a substance abuse disability, XX% of the consumers involved had only a developmental disability, XX% of the consumers involved had multiple disabilities, and XX% of the consumers involved had an unknown disability.



Number of Complaints By Primary Nature of Complaint First Quarter 2007

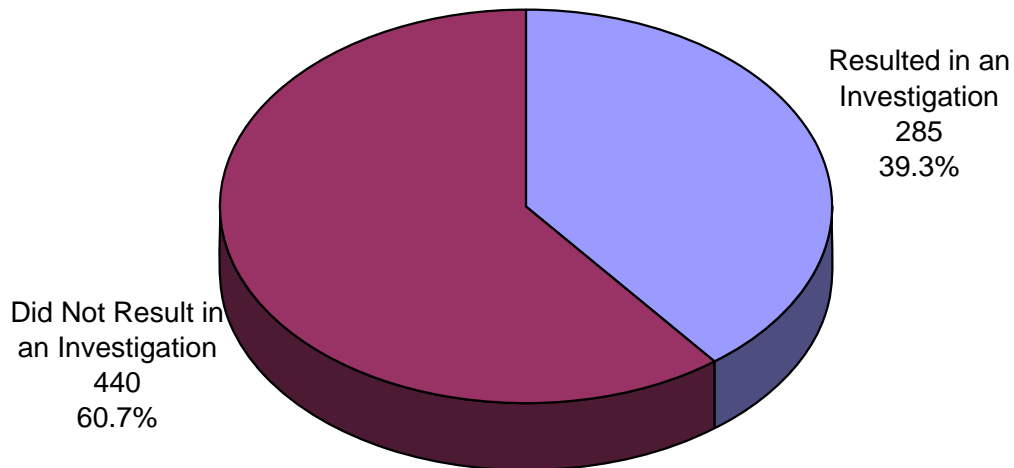
Statewide, LMEs received a total of XXX complaints for this quarter. In XX%, the primary nature of the complaint was related to abuse, neglect, or exploitation, XX % were related to access to services, XX% were related to client rights issues, XX% were related to confidentiality/HIPAA, XX% were related to human relations issues, XX% were related to incident/safety concerns, XX% were related to medication issues, XX% were related to payment/billing issues, XX% were related to provider choice, XX% were related to quality of care issues, XX% were related to level of care/treatment issues, XX% were related to a service provider, and XX% were related to other issues (e.g. administrative matter).



* Other includes Payment/Billing Issues, Provider Choice, Quality of Care, Level of Care/Treatment Issues, Service Provider and Other (e.g. Administrative Matter)

Number of Complaints That Resulted in an Investigation First Quarter 2007

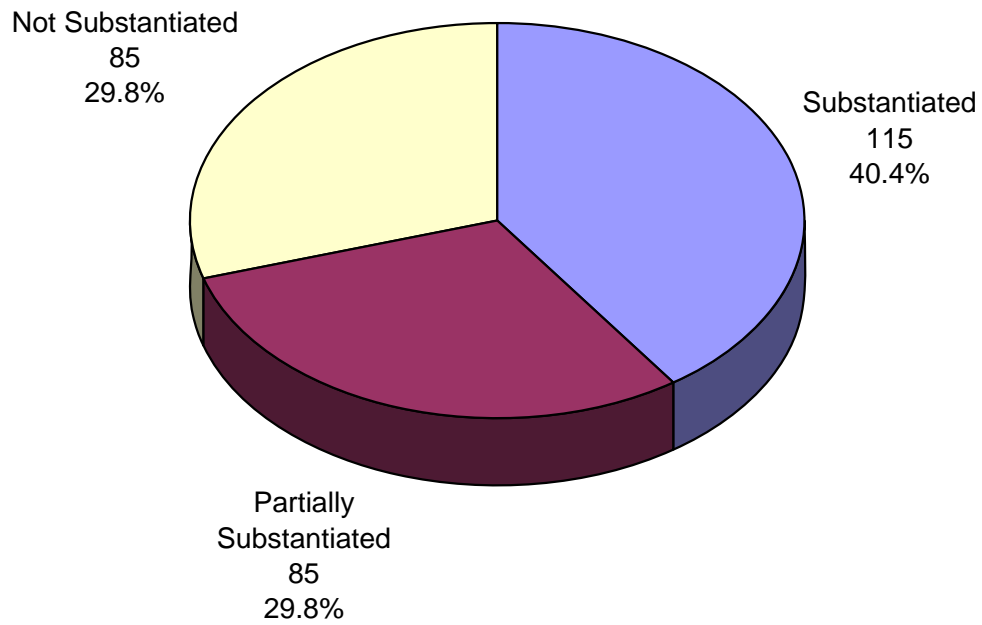
Statewide, LMEs received a total of XXX complaints during this quarter. XX% of these complaints resulted in an investigation by the LME, DFS, DSS, or DMH/DD/SAS. The remaining XX% of these complaints did not result in an investigation.



"Investigation" is the process of conducting a formal inquiry into allegations related to funding, rights protection or LME responsibilities as defined by policies, rules and State and Federal laws governing mh/dd/sas.

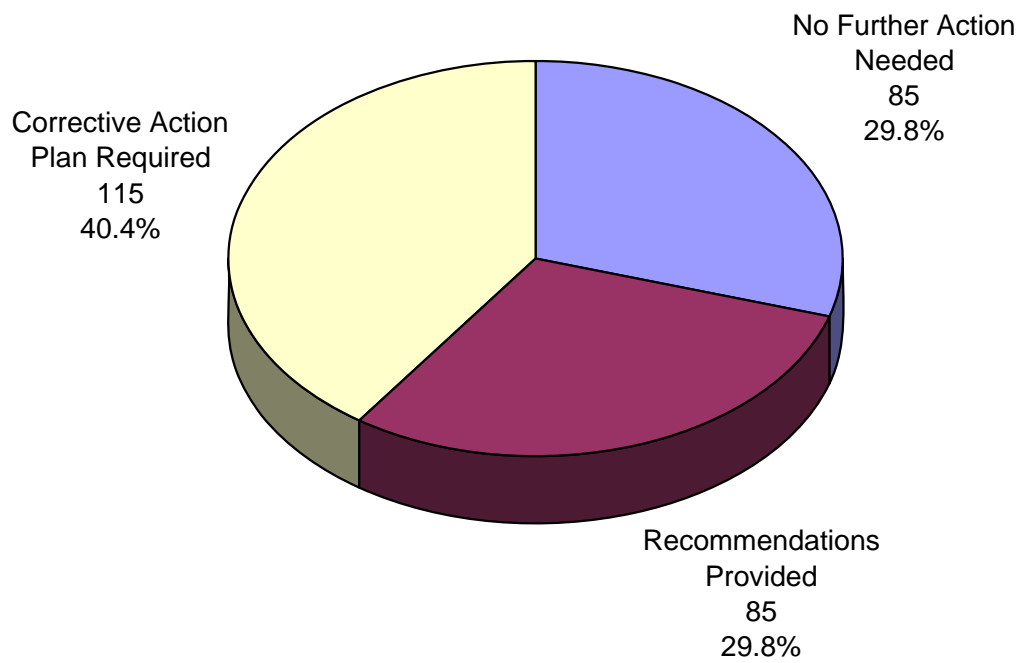
Complaint Investigation Findings First Quarter 2007

Statewide, of the total complaints that were investigated during the quarter, XX% of the complaints were substantiated, XX% were partially substantiated, and XX% were not substantiated.



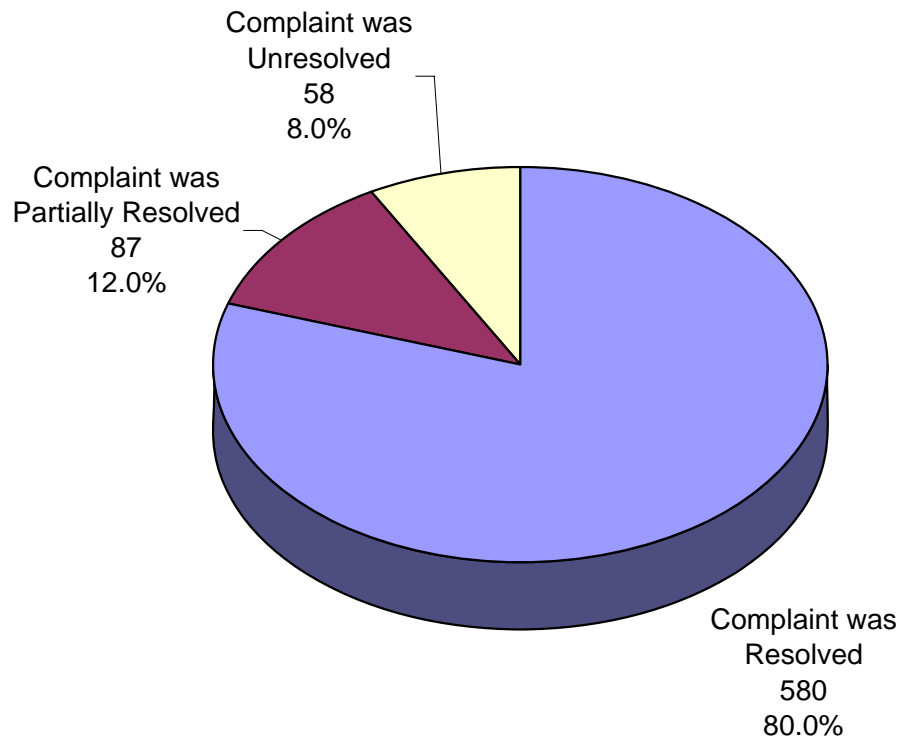
Actions Following Investigation of the Complaint First Quarter 2007

Statewide, of the total complaints investigated during the quarter, XX% required no further action, XX% resulted in recommendations being provided, and XX% required a corrective action plan.



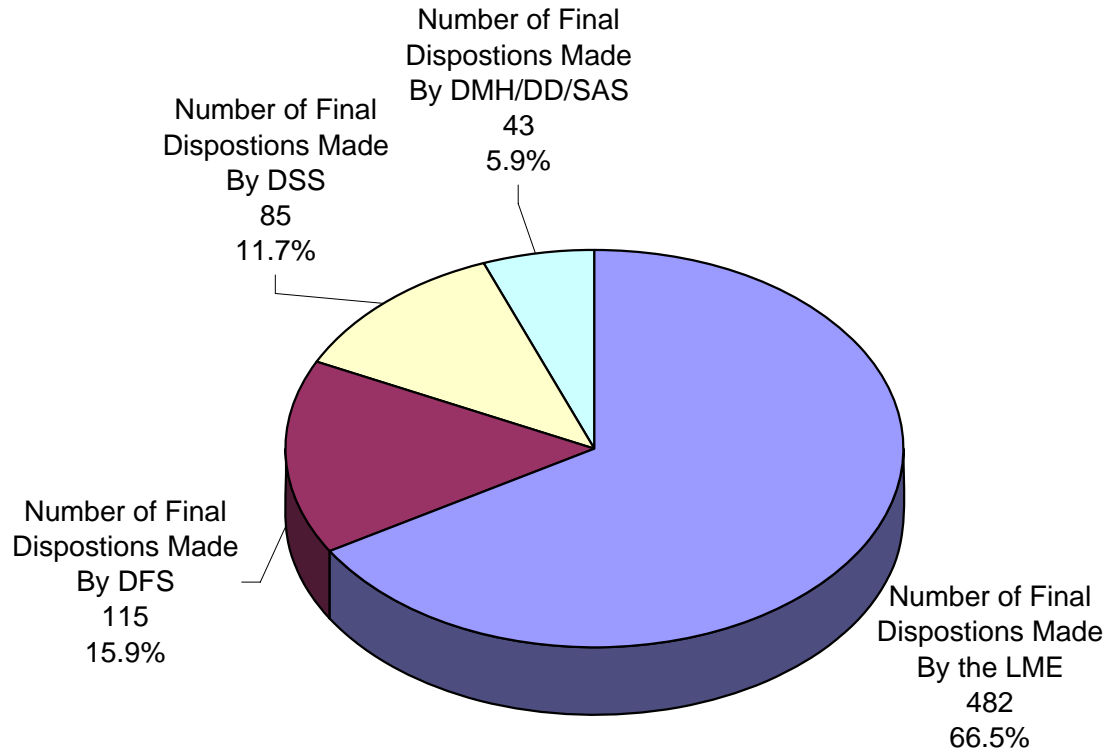
Final Disposition of the Complaint First Quarter 2007

Statewide, of the total number of complaints that were received by LMEs during the quarter, XX% were resolved, XX% were partially resolved, and XX% were unable to be resolved.



Final Disposition Authority For Complaints Received First Quarter 2007

Statewide, for all complaints received by LMEs during the quarter, XX% of the final dispositions were made by the LME, XX% were made by DFS, XX% were made by DSS, and XX% were made by DMH/DD/SAS.



II. Local Management Entities Activities

Summary of Activities Reported:

One of the purposes of reporting complaints quarterly is to identify patterns across the state that provide shared opportunities for improvement. Common patterns across Local Management Entities (LMEs) may indicate opportunities for LMEs to learn from each other. They may also point to issues that need to be addressed systematically statewide, either by the Division or with the help of the NC Council of Community Programs.

The table below lists patterns identified by LMEs during the fourth quarter of SFY07 - 08.

	Identified Activity	Number (Percent) of LMEs Citing This Issue (X Total)				
LME						
LME						

Examples of Analysis Reported:

The LME reports cited below provide an overview of how LMEs are identifying and responding to patterns in complaints. Excerpts from these reports are included because they provide good examples of (1) steps toward resolution in the complaint process; (2) identification of patterns; and (3) actions being taken in response to data analysis. The LMEs that have been identified in this report have given permission to identify them.

Identified Patterns And Actions Taken:

Training(s) and Technical Assistance Based on Identified Problems:

LMEs continue to address patterns in complaints by offering trainings and providing technical assistance for their providers. Highlights include:

LME	Description
LME	Description

Monitoring Scheduled Based on Identified Issues:

LME	Description
LME	Description

Improvement Activities:

LME	Description
LME	Description

Future Action Plans:

LME	Description
LME	Description

III. Detailed Data (By Local Management Entity and Statewide)

Table 1 - Total Number of Complaints Received By LMEs

This table shows the total number of complaints received by Local Management Entities (LMEs) during SFY2006 and the relative rate of complaints per 1,000 consumers on the active caseload*.

Statewide, LMEs received a total of XXX complaints. XX% of the complaints received were by or on-behalf of a consumer, and XX% were not by or on-behalf of a consumer. The average rate of complaints reported was XXX per 1,000 active caseload for the current quarter.

	Number of Complaints Received By or On-Behalf of a Consumer				Total Number of Complaints Received				Rate of Total Complaints Received per 1,000 Active Caseload			
	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
Alamance-Caswell-Rockingham	15				25							
Albemarle	15				25							
Catawba	15				25							
Centerpoint	15				25							
Crossroads	15				25							
Cumberland	15				25							
Durham	15				25							
Eastpoint	15				25							
Five County	15				25							
Foothills	15				25							
Guilford	15				25							
Johnston	15				25							
Mecklenburg	15				25							
Neuse	15				25							
New River	15				25							
Onslow-Carteret	15				25							
OPC	15				25							
Pathways	15				25							
Piedmont	15				25							
Pitt	15				25							
Roanoke-Chowan	15				25							
Sandhills	15				25							
Smoky Mountain	15				25							
Southeastern Center	15				25							
Southeastern Regional	15				25							
Tideland	15				25							
Wake	15				25							
Western Highlands	15				25							
Wilson-Greene-Edgecombe-Nash	15				25							
All LMEs Reporting												
Number	435				725							
Percent of Total	60.0%				100.0%							
									Minimum			
									Median			
									Maximum			

* Active caseload is the average monthly active caseload for the quarter and is calculated by performing a distinct count of clients in the Client Services Data Warehouse with a status code of

Table 2a - Numbers of Complaints Received by Person Making the Complaint (Part 1 of 2)

This table summarizes the numbers of complaints received by Local Management Entities (LMEs) during SFY2006 by the person originating the complaint.

Summary of findings noted for the current quarter.

	Person Making the Complaint																			
	Anonymous				Attorney				Consumer				Consumer Advocate/ Representative				DMH/DD/SAS Staff			
	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
Alamance-Caswell-Rockingham	4				1				5				1				4			
Albemarle	4				1				5				1				4			
Catawba	4				1				5				1				4			
Centerpoint	4				1				5				1				4			
Crossroads	4				1				5				1				4			
Cumberland	4				1				5				1				4			
Durham	4				1				5				1				4			
Eastpoint	4				1				5				1				4			
Five County	4				1				5				1				4			
Foothills	4				1				5				1				4			
Guilford	4				1				5				1				4			
Johnston	4				1				5				1				4			
Mecklenburg	4				1				5				1				4			
Neuse	4				1				5				1				4			
New River	4				1				5				1				4			
Onslow-Carteret	4				1				5				1				4			
OPC	4				1				5				1				4			
Pathways	4				1				5				1				4			
Piedmont	4				1				5				1				4			
Pitt	4				1				5				1				4			
Roanoke-Chowan	4				1				5				1				4			
Sandhills	4				1				5				1				4			
Smoky Mountain	4				1				5				1				4			
Southeastern Center	4				1				5				1				4			
Southeastern Regional	4				1				5				1				4			
Tideland	4				1				5				1				4			
Wake	4				1				5				1				4			
Western Highlands	4				1				5				1				4			
Wilson-Greene-Edgecombe-Nash	4				1				5				1				4			
All LMEs Reporting																				
Number	116				29				145				29				116			
Percent of Total	16.0%				4.0%				20.0%				4.0%				16.0%			

Table 2b - Numbers of Complaints Received by Person Making the Complaint (Part 2 of 2)

This table summarizes the numbers of complaints received by Local Management Entities (LMEs) during SFY2006 by the person originating the complaint.

Summary of findings noted for the current quarter.

	Person Making the Complaint																			
	Family Member				Parent/Guardian				Provider				LME Staff				Other			
	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
Alamance-Caswell-Rockingham	2				5				1				1				1			
Albemarle	2				5				1				1				1			
Catawba	2				5				1				1				1			
Centerpoint	2				5				1				1				1			
Crossroads	2				5				1				1				1			
Cumberland	2				5				1				1				1			
Durham	2				5				1				1				1			
Eastpoint	2				5				1				1				1			
Five County	2				5				1				1				1			
Foothills	2				5				1				1				1			
Guilford	2				5				1				1				1			
Johnston	2				5				1				1				1			
Mecklenburg	2				5				1				1				1			
Neuse	2				5				1				1				1			
New River	2				5				1				1				1			
Onslow-Carteret	2				5				1				1				1			
OPC	2				5				1				1				1			
Pathways	2				5				1				1				1			
Piedmont	2				5				1				1				1			
Pitt	2				5				1				1				1			
Roanoke-Chowan	2				5				1				1				1			
Sandhills	2				5				1				1				1			
Smoky Mountain	2				5				1				1				1			
Southeastern Center	2				5				1				1				1			
Southeastern Regional	2				5				1				1				1			
Tideland	2				5				1				1				1			
Wake	2				5				1				1				1			
Western Highlands	2				5				1				1				1			
Wilson-Greene-Edgecombe-Nash	2				5				1				1				1			
All LMEs Reporting																				
Number	58				145				29				29				29			
Percent of Total	8.0%				20.0%				4.0%				4.0%				4.0%			

**Table 3 - For Complaints Received By or On-behalf of a Consumer:
Numbers of Complaints Received Categorized by the Age of the Consumer**

For complaints received by or on-behalf of a consumer, this table summarizes the numbers of complaints received by Local Management Entities (LMEs) during SFY2006 categorized by the age of the consumer.

Statewide this quarter, a total of XX complaints were received by or on-behalf of a consumer. XX% of these complaints were by or on-behalf of a child, XX% of these complaints were by or on-behalf of an adult, and for XX% of these complaints, the consumer's age was unknown.

	Consumer is a Child (Age 0-17)				Consumer is an Adult (Age 18 and Over)				Unknown Age				Total Complaints Received			
	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
Alamance-Caswell-Rockingham	5				9				1				15			
Albemarle	5				9				1				15			
Catawba	5				9				1				15			
Centerpoint	5				9				1				15			
Crossroads	5				9				1				15			
Cumberland	5				9				1				15			
Durham	5				9				1				15			
Eastpoint	5				9				1				15			
Five County	5				9				1				15			
Foothills	5				9				1				15			
Guilford	5				9				1				15			
Johnston	5				9				1				15			
Mecklenburg	5				9				1				15			
Neuse	5				9				1				15			
New River	5				9				1				15			
Onslow-Carteret	5				9				1				15			
OPC	5				9				1				15			
Pathways	5				9				1				15			
Piedmont	5				9				1				15			
Pitt	5				9				1				15			
Roanoke-Chowan	5				9				1				15			
Sandhills	5				9				1				15			
Smoky Mountain	5				9				1				15			
Southeastern Center	5				9				1				15			
Southeastern Regional	5				9				1				15			
Tideland	5				9				1				15			
Wake	5				9				1				15			
Western Highlands	5				9				1				15			
Wilson-Greene-Edgecombe-Nash	5				9				1				15			
All LMEs Reporting																
Number	145				261				29				435			
Percent of Total	33.3%				60.0%				6.7%				100.0%			

**Table 4 - For Complaints Received By or On-behalf of a Consumer:
Numbers of Complaints Received Categorized by the Consumer's Disability Group**

For complaints received from or on-behalf of a consumer, this table summarizes the numbers of complaints received by Local Management Entities (LMEs) during SFY2006 categorized by the consumer's disability group.

Statewide this quarter, summary of findings.

	Mental Health (only)				Substance Abuse (only)				Developmental Disabilities (only)				Multiple Disabilities				Unknown Disability			
	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
Alamance-Caswell-Rockingham	4				4				4				2				1			
Albemarle	4				4				4				2				1			
Catawba	4				4				4				2				1			
Centerpoint	4				4				4				2				1			
Crossroads	4				4				4				2				1			
Cumberland	4				4				4				2				1			
Durham	4				4				4				2				1			
Eastpoint	4				4				4				2				1			
Five County	4				4				4				2				1			
Foothills	4				4				4				2				1			
Guilford	4				4				4				2				1			
Johnston	4				4				4				2				1			
Mecklenburg	4				4				4				2				1			
Neuse	4				4				4				2				1			
New River	4				4				4				2				1			
Onslow-Carteret	4				4				4				2				1			
OPC	4				4				4				2				1			
Pathways	4				4				4				2				1			
Piedmont	4				4				4				2				1			
Pitt	4				4				4				2				1			
Roanoke-Chowan	4				4				4				2				1			
Sandhills	4				4				4				2				1			
Smoky Mountain	4				4				4				2				1			
Southeastern Center	4				4				4				2				1			
Southeastern Regional	4				4				4				2				1			
Tideland	4				4				4				2				1			
Wake	4				4				4				2				1			
Western Highlands	4				4				4				2				1			
Wilson-Greene-Edgecombe-Nash	4				4				4				2				1			
All LMEs Reporting																				
Number	116				116				116				58				29			
Percent of Total	26.7%				26.7%				26.7%				13.3%				6.7%			

Table 5a - Numbers of Complaints By Primary Nature of Complaint (Part 1 of 3)

This table is one of three tables that summarize the numbers of complaints received by Local Management Entities (LMEs) during SFY2006 categorized by the primary nature of the complaint.

Findings for the current quarter.

	Abuse, Neglect, Exploitation				Access to Services				Client Rights Issues				Confidentiality/HIPAA			
	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
Alamance-Caswell-Rockingham	1				13				1				1			
Albemarle	1				13				1				1			
Catawba	1				13				1				1			
Centerpoint	1				13				1				1			
Crossroads	1				13				1				1			
Cumberland	1				13				1				1			
Durham	1				13				1				1			
Eastpoint	1				13				1				1			
Five County	1				13				1				1			
Foothills	1				13				1				1			
Guilford	1				13				1				1			
Johnston	1				13				1				1			
Mecklenburg	1				13				1				1			
Neuse	1				13				1				1			
New River	1				13				1				1			
Onslow-Carteret	1				13				1				1			
OPC	1				13				1				1			
Pathways	1				13				1				1			
Piedmont	1				13				1				1			
Pitt	1				13				1				1			
Roanoke-Chowan	1				13				1				1			
Sandhills	1				13				1				1			
Smoky Mountain	1				13				1				1			
Southeastern Center	1				13				1				1			
Southeastern Regional	1				13				1				1			
Tideland	1				13				1				1			
Wake	1				13				1				1			
Western Highlands	1				13				1				1			
Wilson-Greene-Edgecombe-Nash	1				13				1				1			
All LMEs Reporting																
Number	29				377				29				29			
Percent of Total	4.0%				52.0%				4.0%				4.0%			

Table 5b - Numbers of Complaints By Primary Nature of Complaint (Part 2 of 3)

This table is one of three tables that summarize the numbers of complaints received by Local Management Entities (LMEs) during SFY2006 categorized by the primary nature of the complaint.

Findings for the current quarter.

	Human Relations Issues				Incident/Safety Concern				Medication Issues				Payment/Billing Issues				Provider Choice			
	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
Alamance-Caswell-Rockingham	1				1				1				1				1			
Albemarle	1				1				1				1				1			
Catawba	1				1				1				1				1			
Centerpoint	1				1				1				1				1			
Crossroads	1				1				1				1				1			
Cumberland	1				1				1				1				1			
Durham	1				1				1				1				1			
Eastpoint	1				1				1				1				1			
Five County	1				1				1				1				1			
Foothills	1				1				1				1				1			
Guilford	1				1				1				1				1			
Johnston	1				1				1				1				1			
Mecklenburg	1				1				1				1				1			
Neuse	1				1				1				1				1			
New River	1				1				1				1				1			
Onslow-Carteret	1				1				1				1				1			
OPC	1				1				1				1				1			
Pathways	1				1				1				1				1			
Piedmont	1				1				1				1				1			
Pitt	1				1				1				1				1			
Roanoke-Chowan	1				1				1				1				1			
Sandhills	1				1				1				1				1			
Smoky Mountain	1				1				1				1				1			
Southeastern Center	1				1				1				1				1			
Southeastern Regional	1				1				1				1				1			
Tideland	1				1				1				1				1			
Wake	1				1				1				1				1			
Western Highlands	1				1				1				1				1			
Wilson-Greene-Edgecombe-Nash	1				1				1				1				1			
All LMEs Reporting																				
Number	29				29				29				29				29			
Percent of Total	7.7%				7.7%				7.7%				7.7%				7.7%			

Table 5c - Numbers of Complaints By Primary Nature of Complaint (Part 3 of 3)

This table is one of three tables that summarize the numbers of complaints received by Local Management Entities (LMEs) during SFY2006 categorized by the primary nature of the complaint.

Findings for the current quarter.

	Quality of Care				Level of Care/ Treatment Issues				Service Provider				Other (e.g. Administrative matter)			
	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
Alamance-Caswell-Rockingham	1				1				1				1			
Albemarle	1				1				1				1			
Catawba	1				1				1				1			
Centerpoint	1				1				1				1			
Crossroads	1				1				1				1			
Cumberland	1				1				1				1			
Durham	1				1				1				1			
Eastpoint	1				1				1				1			
Five County	1				1				1				1			
Foothills	1				1				1				1			
Guilford	1				1				1				1			
Johnston	1				1				1				1			
Mecklenburg	1				1				1				1			
Neuse	1				1				1				1			
New River	1				1				1				1			
Onslow-Carteret	1				1				1				1			
OPC	1				1				1				1			
Pathways	1				1				1				1			
Piedmont	1				1				1				1			
Pitt	1				1				1				1			
Roanoke-Chowan	1				1				1				1			
Sandhills	1				1				1				1			
Smoky Mountain	1				1				1				1			
Southeastern Center	1				1				1				1			
Southeastern Regional	1				1				1				1			
Tideland	1				1				1				1			
Wake	1				1				1				1			
Western Highlands	1				1				1				1			
Wilson-Greene-Edgecombe-Nash	1				1				1				1			
All LMEs Reporting																
Number	29				29				29				29			
Percent of Total	7.7%				7.7%				7.7%				7.7%			

Table 6 - Number of Complaints That Resulted In an Investigation

This table summarizes the number of complaints that were received by Local Management Entities (LMEs) that resulted in an investigation by the LME, DFS, DSS, or DMH/DD/SAS during SFY2006. It reports the number and percentage of complaints received that were investigated and not investigated.

Statewide during the current quarter, LMEs received a total of XXX complaints. XX% of these complaints resulted in an investigation by the LME, DFS, DSS, or DMH/DD/SAS. The remaining XX% of these complaints did not result in an investigation.

	Number of Complaints That Resulted In an Investigation				Number of Complaints That Did Not Result In an Investigation				Total Complaints Received			
	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
Alamance-Caswell-Rockingham	5				20				25			
Albemarle	5				20				25			
Catawba	5				20				25			
Centerpoint	5				20				25			
Crossroads	5				20				25			
Cumberland	5				20				25			
Durham	5				20				25			
Eastpoint	5				20				25			
Five County	5				20				25			
Foothills	5				20				25			
Guilford	5				20				25			
Johnston	5				20				25			
Mecklenburg	5				20				25			
Neuse	5				20				25			
New River	5				20				25			
Onslow-Carteret	15				10				25			
OPC	15				10				25			
Pathways	15				10				25			
Piedmont	15				10				25			
Pitt	15				10				25			
Roanoke-Chowan	15				10				25			
Sandhills	15				10				25			
Smoky Mountain	15				10				25			
Southeastern Center	15				10				25			
Southeastern Regional	15				10				25			
Tideland	15				10				25			
Wake	15				10				25			
Western Highlands	15				10				25			
Wilson-Greene-Edgecombe-Nash	15				10				25			
All LMEs Reporting												
Number	285				440				725			
Percent of Total	39.3%				60.7%				100.0%			

Table 7 - Complaint Investigations Findings

This table summarizes the findings of complaints that were received by Local Management Entities (LMEs) during SFY2006 that were investigated. It reports the number of complaints investigated that were substantiated, partially substantiated, and not substantiated.

Statewide during the current quarter, of the total complaints that were investigated, XX% of the complaints were substantiated, XX% were partially substantiated, and XX% were not substantiated.

	Number Substantiated				Number Partially Substantiated				Number Not Substantiated				Total Complaints Investigated			
	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
Alamance-Caswell-Rockingham	3				1				1				5			
Albemarle	3				1				1				5			
Catawba	3				1				1				5			
Centerpoint	3				1				1				5			
Crossroads	3				1				1				5			
Cumberland	3				1				1				5			
Durham	3				1				1				5			
Eastpoint	3				1				1				5			
Five County	3				1				1				5			
Foothills	3				1				1				5			
Guilford	3				1				1				5			
Johnston	3				1				1				5			
Mecklenburg	3				1				1				5			
Neuse	3				1				1				5			
New River	3				1				1				5			
Onslow-Carteret	5				5				5				15			
OPC	5				5				5				15			
Pathways	5				5				5				15			
Piedmont	5				5				5				15			
Pitt	5				5				5				15			
Roanoke-Chowan	5				5				5				15			
Sandhills	5				5				5				15			
Smoky Mountain	5				5				5				15			
Southeastern Center	5				5				5				15			
Southeastern Regional	5				5				5				15			
Tideland	5				5				5				15			
Wake	5				5				5				15			
Western Highlands	5				5				5				15			
Wilson-Greene-Edgecombe-Nash	5				5				5				15			
All LMEs Reporting																
Number	115				85				85				285			
Percent of Total	40.4%				29.8%				29.8%				100.0%			

Table 8 - Actions Following Investigation of the Complaint

This table summarizes the actions following investigation for complaints that were received by Local Management Entities (LMEs) during SFY2006 and that were investigated by the LME, DFS, DSS, or DMH/DD/SAS. It reports the number and percentage of complaints that were investigated that required no further action, that resulted in recommendations only, or that required a correction action plan.

Statewide during this quarter, of the total complaints investigated, XX% required no further action, XX% resulted in recommendations being provided, and XX% required a corrective action plan.

	No Further Action Needed				Recommendations Provided				Corrective Action Plan Required				Total Complaints Investigated			
	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
Alamance-Caswell-Rockingham	1				1				3				5			
Albemarle	1				1				3				5			
Catawba	1				1				3				5			
Centerpoint	1				1				3				5			
Crossroads	1				1				3				5			
Cumberland	1				1				3				5			
Durham	1				1				3				5			
Eastpoint	1				1				3				5			
Five County	1				1				3				5			
Foothills	1				1				3				5			
Guilford	1				1				3				5			
Johnston	1				1				3				5			
Mecklenburg	1				1				3				5			
Neuse	1				1				3				5			
New River	1				1				3				5			
Onslow-Carteret	5				5				5				15			
OPC	5				5				5				15			
Pathways	5				5				5				15			
Piedmont	5				5				5				15			
Pitt	5				5				5				15			
Roanoke-Chowan	5				5				5				15			
Sandhills	5				5				5				15			
Smoky Mountain	5				5				5				15			
Southeastern Center	5				5				5				15			
Southeastern Regional	5				5				5				15			
Tideland	5				5				5				15			
Wake	5				5				5				15			
Western Highlands	5				5				5				15			
Wilson-Greene-Edgecombe-Nash	5				5				5				15			
All LMEs Reporting																
Number	85				85				115				285			
Percent of Total	29.8%				29.8%				40.4%				100.0%			

Table 9 - Final Disposition of the Complaint

This table summarizes the final disposition for all complaints that were received by Local Management Entities (LMEs) during SFY2006. It reports the number and percentage of complaints received that were ultimately resolved, partially resolved, or were unresolved.

Statewide during the current quarter, of the total number of complaints received by LMEs, XX% were resolved, XX% were partially resolved, and for XX% of the complaints, the issue was unable to be resolved.

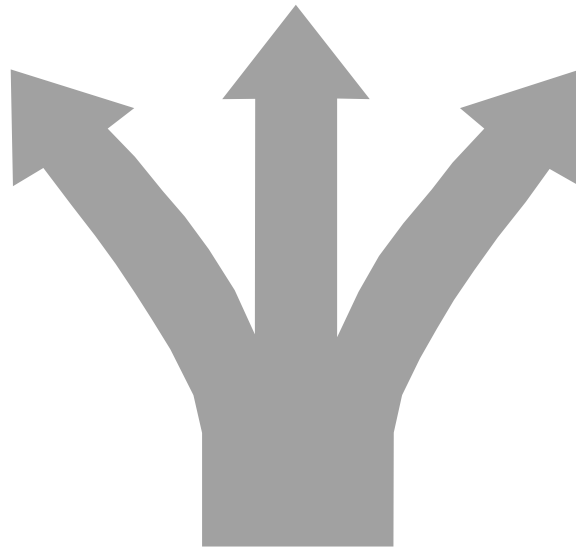
	Number of Complaints that were Resolved				Number of Complaints that were Partially Resolved				Number of Complaints that were Unresolved				Total Complaints Received			
	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
Alamance-Caswell-Rockingham	20				3				2				25			
Albemarle	20				3				2				25			
Catawba	20				3				2				25			
Centerpoint	20				3				2				25			
Crossroads	20				3				2				25			
Cumberland	20				3				2				25			
Durham	20				3				2				25			
Eastpoint	20				3				2				25			
Five County	20				3				2				25			
Foothills	20				3				2				25			
Guilford	20				3				2				25			
Johnston	20				3				2				25			
Mecklenburg	20				3				2				25			
Neuse	20				3				2				25			
New River	20				3				2				25			
Onslow-Carteret	20				3				2				25			
OPC	20				3				2				25			
Pathways	20				3				2				25			
Piedmont	20				3				2				25			
Pitt	20				3				2				25			
Roanoke-Chowan	20				3				2				25			
Sandhills	20				3				2				25			
Smoky Mountain	20				3				2				25			
Southeastern Center	20				3				2				25			
Southeastern Regional	20				3				2				25			
Tideland	20				3				2				25			
Wake	20				3				2				25			
Western Highlands	20				3				2				25			
Wilson-Greene-Edgecombe-Nash	20				3				2				25			
All LMEs Reporting																
Number	580				87				58				725			
Percent of Total	80.0%				12.0%				8.0%				100.0%			

Table 10 - Final Disposition Authority

This table identifies the final disposition authority (LME, DFS, DSS, or DMH/DD/SAS) for all complaints that were received by Local Management Entities (LMEs) during SFY2006. It reports the number and percentage of final dispositions made by each disposition authority for complaints that were received by the LME.

Statewide during the current quarter, XX% of the final dispositions were made by the LME, XX% were made by DFS, XX% were made by DSS, and XX% were made by DMH/DD/SAS.

	Number of Final Dispositions Made By the LME				Number of Final Dispositions Made By DFS				Number of Final Dispositions Made By DSS				Number of Final Dispositions Made By DMH/DD/SAS			
	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr	1st Qtr	2nd Qtr	3rd Qtr	4th Qtr
Alamance-Caswell-Rockingham	13				5				5				2			
Albemarle	13				5				5				2			
Catawba	13				5				5				2			
Centerpoint	13				5				5				2			
Crossroads	13				5				5				2			
Cumberland	13				5				5				2			
Durham	13				5				5				2			
Eastpoint	13				5				5				2			
Five County	13				5				5				2			
Foothills	13				5				5				2			
Guilford	13				5				5				2			
Johnston	13				5				5				2			
Mecklenburg	13				5				5				2			
Neuse	13				5				5				2			
New River	20				3				1				1			
Onslow-Carteret	20				3				1				1			
OPC	20				3				1				1			
Pathways	20				3				1				1			
Piedmont	20				3				1				1			
Pitt	20				3				1				1			
Roanoke-Chowan	20				3				1				1			
Sandhills	20				3				1				1			
Smoky Mountain	20				3				1				1			
Southeastern Center	20				3				1				1			
Southeastern Regional	20				3				1				1			
Tideland	20				3				1				1			
Wake	20				3				1				1			
Western Highlands	20				3				1				1			
Wilson-Greene-Edgecombe-Nash	20				3				1				1			
All LMEs Reporting																
Number	482				115				85				43			
Percent of Total	66.5%				15.9%				11.7%				5.9%			



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more informative and more useful to you!**

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